

House Resolution 4 - Introduced

HOUSE RESOLUTION NO. 4

BY COMMITTEE ON ETHICS

(SUCCESSOR TO HSB 64)

1 A Resolution relating to the code of ethics of the
2 House of Representatives for the Eighty-seventh
3 General Assembly.

4 BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES, That
5 the House Code of Ethics shall be as follows:

6 HOUSE CODE OF ETHICS

7 PREAMBLE. Every legislator and legislative employee
8 has a duty to uphold the integrity and honor of the
9 general assembly, to encourage respect for the law
10 and for the general assembly, and to observe the house
11 code of ethics. The members and employees of the house
12 have a responsibility to conduct themselves so as to
13 reflect credit on the general assembly, and to inspire
14 the confidence, respect, and trust of the public. The
15 following rules are adopted pursuant to chapter 68B of
16 the Code, to assist the members and employees in the
17 conduct of their activities:

18 1. DEFINITIONS. The definitions of terms provided
19 in chapter 68B of the Code apply to the use of those
20 terms in these rules.

21 2. ECONOMIC INTEREST OF MEMBER OR EMPLOYEE OF
22 HOUSE.

23 a. *Economic or investment opportunity.* A member
24 or employee of the house shall not solicit or accept
25 economic or investment opportunity under circumstances
26 where the member or employee knows, or should know,
27 that the opportunity is being afforded with the intent

1 to influence the member's or employee's conduct in
2 the performance of official duties. If a member
3 or employee of the house learns that an economic
4 or investment opportunity previously accepted was
5 offered with the intent of influencing the member's or
6 employee's conduct in the performance of the official
7 duties, the member or employee shall take steps to
8 divest that member or employee of that investment or
9 economic opportunity, and shall report the matter
10 in writing to the chairperson of the house ethics
11 committee.

12 b. *Excessive charges for services, goods, or*
13 *property interests.* A member or employee of the
14 house shall not charge to or accept from a person
15 known to have a legislative interest, a price, fee,
16 compensation, or other consideration for the sale or
17 lease of any property or the furnishing of services
18 which is in excess of that which the member or employee
19 would ordinarily charge another person.

20 c. *Use of confidential information.* A member or
21 employee of the house, in order to further the member's
22 or employee's own economic interests, or those of any
23 other person, shall not disclose or use confidential
24 information acquired in the course of the member's or
25 employee's official duties. For the purpose of this
26 rule, information disclosed in open session at a public
27 meeting and information that is a public record is not
28 confidential information.

29 d. *Employment.* A member or employee of the house
30 shall not accept employment, either directly or

1 indirectly, from a political action committee. A
2 member of the house shall not act as a paid lobbyist
3 for any organization. However, this paragraph shall
4 not prohibit a member or employee of the house from
5 working for a candidate's committee, a political
6 party's action committee, or a political action
7 committee which does not expressly advocate the
8 nomination, election, or defeat of a candidate for
9 public office in this state or expressly advocate the
10 passage or defeat of a ballot issue in this state and
11 which is not interested in issues before the general
12 assembly.

13 For the purpose of this rule, a political action
14 committee means a committee, but not a candidate's
15 committee, which accepts contributions, makes
16 expenditures, or incurs indebtedness in the aggregate
17 of more than ~~seven hundred fifty~~ one thousand dollars
18 in any one calendar year to expressly advocate the
19 nomination, election, or defeat of a candidate for
20 public office or to expressly advocate the passage
21 or defeat of a ballot issue or for the purpose of
22 influencing legislative action.

23 e. *Solicitation of employment as lobbyist.* A member
24 or employee of the house shall not solicit employment
25 on behalf of the member or employee, or on behalf of
26 another legislator or employee, as a lobbyist while the
27 general assembly is in session.

28 f. *Certain goods or services.* A member or employee
29 of the house shall not solicit or obtain goods or
30 services from another person under circumstances where

1 the member or employee knows or should know that the
2 goods or services are being offered or sold with the
3 intent to influence the member's or employee's conduct
4 in the performance of official duties. If a member
5 or employee of the house is afforded goods or services
6 by another person at a price that is not available to
7 other members or classes of members of the general
8 public or is afforded goods or services that are not
9 available to other members or classes of members
10 of the general public by another person where the
11 member or employee knows or should know that the other
12 person intends to influence the member's or employee's
13 official conduct, the member or employee shall not take
14 or purchase the goods or services.

15 3. APPEARANCE BEFORE STATE AGENCY. A member or
16 employee of the house may appear before a state agency
17 in any representation case but shall not act as a
18 lobbyist with respect to the passage, defeat, approval,
19 veto, or modification of any legislation, rule, or
20 executive order. Whenever a member or employee of
21 the house appears before a state agency, the member
22 or employee shall carefully avoid all conduct which
23 might in any way lead members of the general public
24 to conclude that the member or employee is using the
25 member's or employee's official position to further the
26 member's or employee's professional success or personal
27 financial interest.

28 4. CONFLICTS OF INTEREST. In order for the general
29 assembly to function effectively, members of the house
30 may be required to vote on bills and participate in

1 committee work which will affect their employment and
2 other areas in which they may have a monetary interest.
3 Action on bills and committee work which furthers a
4 member's specific employment, specific investment, or
5 other specific interest, as opposed to the interests of
6 the public in general or the interests of a profession,
7 trade, business, or other class of persons, shall be
8 avoided. In making a decision relative to a member's
9 activity on particular bills or in committee work, the
10 following factors should be considered:

11 a. Whether a substantial threat to the member's
12 independence of judgment has been created by the
13 conflict situation.

14 b. The effect of the member's participation on
15 public confidence in the integrity of the general
16 assembly.

17 c. Whether the member's participation is likely to
18 have any significant effect on the disposition of the
19 matter.

20 d. The need for the member's particular
21 contribution, such as special knowledge of the subject
22 matter, to the effective functioning of the general
23 assembly.

24 If a member decides not to participate in committee
25 work or to abstain from voting because of a possible
26 conflict of interest, the member should disclose
27 this fact to the legislative body. The member shall
28 not vote on any question in which the member has an
29 economic interest that is distinguishable from the
30 interests of the general public or a substantial class

1 of persons.

2 5. STATUTORY REQUIREMENTS. Members and employees
3 of the house shall comply with the requirements
4 contained in chapters 68B (Government Ethics and
5 Lobbying), 721 (Official Misconduct), and 722 (Bribery
6 and Corruption), and sections 2.18 (Contempt) and 711.4
7 (Extortion) of the Code.

8 6. CHARGE ACCOUNTS. Members and employees of the
9 house shall not charge any amount or item to a charge
10 account to be paid for by a lobbyist or any client of a
11 lobbyist.

12 7. TRAVEL EXPENSES. A member or employee of the
13 house shall not charge to the state of Iowa amounts
14 for travel and expenses unless the member or employee
15 actually has incurred those mileage and expense costs.
16 Members or employees shall not file the vouchers for
17 weekly mileage reimbursement required by section 2.10,
18 subsection 1 of the Code, unless the travel expense was
19 actually incurred.

20 A member or employee of the house shall not file
21 a claim for per diem compensation for a meeting of
22 an interim study committee or a visitation committee
23 unless the member or employee attended the meeting.
24 However, the speaker may waive this provision and allow
25 a claim to be filed if the member or employee attempted
26 to attend the meeting but was unable to do so because
27 of circumstances beyond the member's or employee's
28 control.

29 8. GIFTS ACCEPTED OR RECEIVED. Members and
30 employees of the house shall comply with the

1 restrictions relating to the receipt or acceptance
2 of gifts contained in section 68B.22 of the Code.
3 The sponsor of a function under section 68B.22,
4 subsection 4, paragraph "s", shall electronically
5 file a registration with the chief clerk of the house
6 five days prior to the function disclosing the name of
7 the sponsor, and the date, time, and location of the
8 function. The sponsor shall also electronically file a
9 report of expenditures as required pursuant to section
10 68B.22, subsection 4, paragraph "s".

11 9. HONORARIA RESTRICTIONS. Members and employees
12 of the house shall comply with the restrictions
13 relating to the receipt of honoraria contained in
14 section 68B.23 of the Code.

15 10. DISCLOSURE REQUIRED. Each member of the
16 house and the chief clerk of the house shall file the
17 personal financial disclosure statements required under
18 section 68B.35 of the Code by February 15 of each year
19 for the prior calendar year.

20 11. SEXUAL HARASSMENT. Members and employees of
21 the house shall not engage in conduct which constitutes
22 sexual harassment as defined in section 19B.12 of
23 the Code or pursuant to the sexual harassment policy
24 adopted by the house committee on administration and
25 rules.

26 12. COMPLAINTS.

27 a. *Filing of complaint.* Complaints may be filed by
28 any person believing that a member or employee of the
29 house, a lobbyist, or a client of a lobbyist is guilty
30 of a violation of the house code of ethics, the joint

1 rules governing lobbyists, or chapter 68B of the Code.

2 b. *Complaints by committee.* The ethics committee
3 may initiate a complaint on its own motion. Committee
4 complaints may be initiated by the committee as a
5 result of a committee investigation or as a result of
6 receipt of any complaint or other information that does
7 not meet the requirements of these rules regarding the
8 form of a complaint but that contains allegations that
9 would form the basis for a valid complaint.

10 c. *Form and contents of complaint.* A complaint
11 shall be in writing.

12 Complaint forms shall be available from the chief
13 clerk of the house, but a complaint shall not be
14 rejected for failure to use the approved form if it
15 complies with the requirements of these rules. The
16 complaint shall contain a certification made by the
17 complainant, under penalty of perjury, that the facts
18 stated in the complaint are true to the best of the
19 complainant's knowledge.

20 To be valid, a complaint shall allege all of the
21 following:

22 (1) Facts, that if true, establish a violation of
23 a provision of chapter 68B of the Code, the house code
24 of ethics, or joint rules governing lobbyists for which
25 penalties or other remedies are provided.

26 (2) That the conduct providing the basis for the
27 complaint occurred within three years of the filing of
28 the complaint.

29 (3) That the party charged with a violation is
30 a party subject to the jurisdiction of the ethics

1 committee.

2 d. *Confidentiality of complaint.* The identity of
3 the parties and the contents of the complaint shall
4 be confidential until the time that the committee
5 chairperson and ranking member determine under
6 paragraph "f" that the complaint is sufficient as
7 to form, unless either the complainant or the party
8 charged in the complaint makes the identity of the
9 parties, or the information contained in the complaint,
10 public. The chief clerk of the house and the committee
11 chairperson and ranking member may communicate
12 confidentially with appropriate legislative staff
13 during any stage of the complaint process.

14 e. *Notice of complaint.* Upon receipt of the
15 complaint, the chief clerk of the house shall promptly
16 notify the chairperson and ranking member of the
17 ethics committee that a complaint has been filed and
18 provide both the chairperson and the ranking member
19 with copies of the complaint and any supporting
20 information. Within two working days, the chief clerk
21 shall send notice, either by personal delivery or by
22 certified mail, return receipt requested, to the person
23 or persons alleged to have committed the violation,
24 along with a copy of the complaint and any supporting
25 information. The notice to the accused person shall
26 contain a request that the person submit a written
27 response to the complaint within ten working days of
28 the date that the notice was sent by the chief clerk.
29 At the request of the accused person, the committee may
30 extend the time for the response, not to exceed ten

1 additional calendar days. A response to a complaint
2 shall not be confidential.

3 f. *Hearing regarding validity of complaint.* The
4 committee chairperson and the ranking member shall
5 review the complaint and supporting information to
6 determine whether the complaint meets the requirements
7 as to form. If the complaint is deficient as to form,
8 the complaint shall be returned to the complainant
9 with instructions indicating the deficiency. If the
10 complaint is in writing, is sufficient as to form,
11 and contains the appropriate certification, as soon
12 as practicable, the chairperson shall call a meeting
13 of the committee to review the complaint to determine
14 whether the complaint meets the requirements for
15 validity and whether the committee should take action
16 on the complaint pursuant to paragraph "g" or whether
17 the committee should request that the chief justice
18 of the supreme court appoint an independent special
19 counsel to conduct an investigation to determine
20 whether probable cause exists to believe that a
21 violation of the house code of ethics, joint rules
22 governing lobbyists, or chapter 68B of the Code, has
23 occurred. The sufficiency as to form determination
24 and the valid complaint requirements determination
25 shall be based solely upon the original complaint and
26 the response to the complaint. Additional documents
27 or responses shall not be filed by the parties or
28 otherwise considered by the committee prior to a
29 validity determination. The committee shall not
30 receive or consider oral testimony in support of or

1 against a validity determination.

2 If the committee finds that a complaint does not
3 meet the content requirements for a valid complaint,
4 the committee shall dismiss the complaint and notify
5 both the complainant and the party alleged to have
6 committed the violation of the dismissal and the
7 reasons for dismissal. A dismissal for failure to meet
8 the formal requirements for the filing of a complaint
9 shall be without prejudice and the complainant may
10 refile the complaint at any time within three years
11 of the date that the alleged violation took place. If
12 the dismissal is based upon a failure to allege facts
13 and circumstances necessary for a valid complaint, the
14 dismissal shall be with prejudice and the party shall
15 not be permitted to file a complaint based upon the
16 same facts and circumstances.

17 g. *Action on undisputed complaint.* If the committee
18 determines a complaint is valid and determines no
19 dispute exists between the parties regarding the
20 material facts that establish a violation, the
21 committee may take action on the complaint under this
22 paragraph without requesting the appointment of an
23 independent special counsel.

24 The committee may do any of the following:

25 (1) Issue an admonishment to advise against the
26 conduct that formed the basis for the complaint and to
27 exercise care in the future.

28 (2) Issue an order to cease and desist the conduct
29 that formed the basis for the complaint.

30 (3) Make a recommendation to the house that

1 the person subject to the complaint be censured or
2 reprimanded.

3 h. *Request for appointment of independent special*
4 *counsel.* If, after review of the complaint and any
5 response made by the party alleged to have committed
6 the violation, the committee determines that the
7 complaint meets the requirements for form and content
8 and the committee has not taken action under paragraph
9 "g", the committee shall request that the chief justice
10 of the supreme court appoint independent special
11 counsel to investigate the matter and determine whether
12 probable cause exists to believe that a violation of
13 chapter 68B of the Code, the house code of ethics, or
14 the joint rules governing lobbyists has occurred.

15 i. *Receipt of report of independent special counsel.*
16 The report from the independent special counsel
17 regarding probable cause to proceed on a complaint
18 shall be filed with the chief clerk of the house.
19 Upon receipt of the report of the independent special
20 counsel, the chief clerk shall notify the chairperson
21 of the filing of the report and shall send copies of
22 the report to the members of the ethics committee. As
23 soon as practicable after the filing of the report, the
24 chairperson shall schedule a public meeting for review
25 of the report. The purpose of the public meeting
26 shall be to determine whether the complaint should be
27 dismissed, whether a formal hearing should be held on
28 the complaint, or whether other committee action is
29 appropriate. The complainant and the person alleged to
30 have committed the violation shall be given notice of

1 the public meeting, shall have the right to be present
2 at the public meeting, and may, at the discretion
3 of the committee, present testimony in support of or
4 against the recommendations contained in the report.

5 If the committee determines that the matter should
6 be dismissed, the committee shall cause an order to
7 be entered dismissing the matter and notice of the
8 dismissal shall be given to the complainant and the
9 party alleged to have committed the violation. If
10 the committee determines that the complaint should be
11 scheduled for formal hearing, the committee shall issue
12 a charging statement which contains the charges and
13 supporting facts that are to be set for formal hearing
14 and notice shall be sent to the complainant and the
15 accused person.

16 The notice shall include a statement of the nature
17 of the charge or charges, a statement of the time and
18 place of hearing, a short and plain statement of the
19 facts asserted, and a statement of the rights of the
20 accused person at the hearing.

21 j. *Formal hearing.* Formal hearings shall be public
22 and conducted in the manner provided in section 68B.31,
23 subsection 8 of the Code. At a formal hearing the
24 accused shall have the right to be present and to
25 be heard in person and by counsel, to cross-examine
26 witnesses, and to present evidence. Members of
27 the committee shall also have the right to question
28 witnesses.

29 The committee may require, by subpoena or otherwise,
30 the attendance and testimony of witnesses and the

1 production of such books, records, correspondence,
2 memoranda, papers, documents, and any other things it
3 deems necessary to the conduct of the inquiry.

4 Evidence at the formal hearing shall be received
5 in accordance with rules and procedures applicable to
6 contested cases under chapter 17A of the Code.

7 The committee chairperson, or the vice chairperson
8 or ranking member in the absence of the chairperson,
9 shall preside at the formal hearing and shall rule on
10 the admissibility of any evidence received. The ruling
11 of the chairperson may be overturned by a majority
12 vote of the committee. Independent special counsel
13 shall present the evidence in support of the charge
14 or charges. The burden shall be on the independent
15 special counsel to prove the charge or charges by
16 a preponderance of clear and convincing evidence.
17 Upon completion of the formal hearing, the committee
18 shall adopt written findings of fact and conclusions
19 concerning the merits of the charges and make its
20 report and recommendation to the house.

21 k. *Disqualification of member.* Members of the
22 committee may disqualify themselves from participating
23 in any investigation of the conduct of another person
24 upon submission of a written statement that the member
25 cannot render an impartial and unbiased decision
26 in a case. A member may also be disqualified by a
27 unanimous vote of the remaining eligible members of the
28 committee.

29 A member of the committee is ineligible to
30 participate in committee meetings, as a member of the

1 committee, in any proceeding relating to the member's
2 own official conduct.

3 If a member of the committee is disqualified or
4 ineligible to act, the majority or minority leader who
5 appointed the member shall appoint a replacement member
6 to serve as a member of the committee during the period
7 of disqualification or ineligibility.

8 1. *Recommendations by the committee.* The committee
9 shall recommend to the house that the complaint be
10 dismissed, or that one or more of the following be
11 imposed:

12 (1) That the member or employee of the house
13 or lobbyist or client of a lobbyist be censured or
14 reprimanded, and the recommended appropriate form of
15 censure or reprimand be used.

16 (2) That the member of the house be suspended or
17 expelled from membership in the house and required
18 to forfeit the member's salary for that period, the
19 employee of the house be suspended or dismissed from
20 employment, or that the lobbyist's or lobbyist's
21 client's lobbying privileges be suspended.

22 13. COMMUNICATIONS WITH ETHICS COMMITTEE. After a
23 complaint has been filed or an investigation has been
24 initiated, a party to the complaint or investigation
25 shall not communicate, or cause another to communicate,
26 as to the merits of the complaint or investigation with
27 a member of the committee, except under the following
28 circumstances:

29 a. During the course of any meetings or other
30 official proceedings of the committee regarding the

1 complaint or investigation.

2 b. In writing, if a copy of the writing is
3 delivered to the adverse party or the designated
4 representative for the adverse party.

5 c. Orally, if adequate prior notice of the
6 communication is given to the adverse party or the
7 designated representative for the adverse party.

8 d. As otherwise authorized by statute, the house
9 code of ethics, joint rules governing lobbyists, or
10 vote of the committee.

11 14. PERMANENT RECORD. The chief clerk of the house
12 shall maintain a permanent record of all complaints
13 filed and any corresponding committee action. The
14 permanent record shall be prepared by the ethics
15 committee and shall contain the date the complaint was
16 filed, name and address of the complainant, name and
17 address of the accused person, a brief statement of the
18 charges made, any evidence received by the committee,
19 any transcripts or recordings of committee action, and
20 ultimate disposition of the complaint. Beginning with
21 the 2017 Regular Session of the General Assembly, in
22 recording the ultimate disposition of a complaint that
23 is dismissed, the information shall include whether
24 the complaint was dismissed due to formal insufficiency
25 or due to a failure to meet the content requirements
26 of a valid complaint. Except as provided in rule
27 12, paragraph "d", the chief clerk shall keep each
28 complaint confidential until public disclosure is made
29 by the ethics committee.

30 15. MEETING AUTHORIZATION. The house ethics

1 committee is authorized to meet at the discretion of
2 the committee chairperson in order to conduct hearings
3 and other business that properly may come before it.
4 If the committee submits a report seeking house action
5 against a member or employee of the house or lobbyist
6 after the second regular session of a general assembly
7 has adjourned sine die, the report shall be submitted
8 to and considered by the subsequent general assembly.

9 16. ADVISORY OPINIONS.

10 a. *Requests for formal opinions.* A request for a
11 formal advisory opinion may be filed by any person who
12 is subject to the authority of the ethics committee.
13 The ethics committee may also issue a formal advisory
14 opinion on its own motion, without having previously
15 received a formal request for an opinion, on any issue
16 that is within the jurisdiction of the committee.
17 Requests shall be filed with either the chief clerk of
18 the house or the chairperson of the ethics committee.

19 b. *Form and contents of requests.* A request for
20 a formal advisory opinion shall be in writing and
21 may pertain to any subject matter that is related to
22 application of the house code of ethics, the joint
23 rules governing lobbyists, or chapter 68B of the
24 Code to any person who is subject to the authority of
25 the ethics committee. Requests shall contain one or
26 more specific questions and shall relate either to
27 future conduct or be stated in the hypothetical. A
28 request for an advisory opinion shall not specifically
29 name any individual or contain any other specific
30 identifying information, unless the request relates

1 to the requester's own conduct. However, any request
2 may contain information which identifies the kind
3 of individual who may be affected by the subject
4 matter of the request. Examples of this latter kind
5 of identifying information may include references to
6 conduct of a category of individuals, such as but not
7 limited to conduct of legislators, legislative staff,
8 or lobbyists.

9 c. *Confidentiality of formal requests and opinions.*

10 Requests for formal opinions are not confidential and
11 any deliberations of the committee regarding a request
12 for a formal opinion shall be public. Opinions issued
13 in response to requests for formal opinions are not
14 confidential, shall be in writing, and shall be placed
15 on file in the office of the chief clerk of the house.
16 Persons requesting formal opinions shall personally
17 receive a copy of the written formal opinion that is
18 issued in response to the request.

19 17. PERSONAL FINANCIAL DISCLOSURE FORM. The
20 following form shall be used for disclosure of economic
21 interests under these rules and section 68B.35 of the
22 Code:

23 STATEMENT OF ECONOMIC INTERESTS

24 Name: _____

25 (Last) (First) (Middle Initial)

26 Address: _____

27 (Street Address, Apt.#/P.O. Box)

28 _____

29 (City)(State)(Zip)

30 Phone:(Home)_____/_____-_____(Business)_____/_____-_____

1 *****

2 This form is due each year on or before February 15.
3 The reporting period is the most recently completed
4 calendar year. An amended form shall be filed if a
5 change in business, occupation, or profession reported
6 in Division I of the form has occurred. The amended
7 form shall include the date the change took effect and
8 must be filed within thirty days of the first day of
9 the change in employment or engagement necessitating
10 the amended form. If the date of the change occurs
11 between January 1 and February 15, the change shall be
12 included in the filing due February 15.

13 In completing Division III of this form, if your
14 percentage of ownership of an asset is less than 100
15 percent, multiply your percentage of ownership by the
16 total revenue produced to determine if you have reached
17 the \$1,000 threshold.

18 Do not report income received by your spouse or
19 other family members.

20 In completing this form, if insufficient space is
21 provided for your answer, you may attach additional
22 information/answers on full-size sheets of paper.

23 Division I. Business, Occupation, or Profession.

24 List each business, occupation, or profession in
25 which you are engaged, the nature of the business if
26 not evident, and your position or job title. No income
27 threshold or time requirement applies.

28 Examples:

29 If you are employed by an individual, state the name
30 of the individual employer, the nature of the business,

1 and your position.

2 If you are self-employed and are not incorporated
3 or are not doing business under a particular business
4 name, state that you are self-employed, the nature of
5 the business, and your position.

6 If you own your own corporation, are employed by a
7 corporation, or are doing business under a particular
8 business name, state the name and nature of the
9 business or corporation and your position.

10 1 _____
11 2 _____
12 3 _____
13 4 _____
14 5 _____
15 6 _____

16 Division II. Commissions from Sales of Goods or
17 Services to Political Subdivisions.

18 This part is to be completed only by Legislators.
19 If you received income in the form of a commission
20 from the sale of goods or services to a political
21 subdivision, state the name of the purchasing political
22 subdivision. The amount of commission earned is not
23 required to be listed.

24 1 _____
25 2 _____
26 3 _____
27 4 _____
28 5 _____
29 6 _____

30 Division III. Sources of Gross Income.

1 In each one of the following categories list each
2 source which produces more than \$1,000 in annual gross
3 income, if the revenue produced by the source was
4 subject to federal or state income taxes last year.
5 List the nature or type of each company, business,
6 financial institution, corporation, partnership, or
7 other entity which produces more than \$1,000 of annual
8 gross income. Neither the amount of income produced
9 nor value of the holding is required to be listed in
10 any of the items.

11 A. Securities: State the nature of the business of
12 any company in which you hold stock, bonds, or other
13 pecuniary interests that generate more than \$1,000
14 in annual gross income. Income generated by multiple
15 holdings in a single company are deemed received from a
16 single source.

17 _____
18 _____
19 _____
20 _____
21 _____
22 _____

23 B. Instruments of Financial Institutions: State
24 the types of institutions in which you hold financial
25 instruments, such as certificates of deposit, savings
26 accounts, etc., that produce annual gross income in
27 excess of \$1,000, e.g., banks, savings and loans, or
28 credit unions.

29 _____
30 _____

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5 C. Trusts: State the nature or type of any trust
6 from which you receive more than \$1,000 of gross income
7 annually.

8 _____
9 _____
10 _____
11 _____
12 _____
13 _____

14 D. Real Estate: State the general nature of real
15 estate interests that generate more than \$1,000 of
16 gross income annually, e.g., residential leasehold
17 interest or farm leasehold interest. The size or
18 location of the property interest is not required to be
19 listed.

20 _____
21 _____
22 _____
23 _____
24 _____
25 _____

26 E. Retirement Systems: State the name of each
27 pension plan or other corporation or company that pays
28 you more than \$1,000 annually in retirement benefits.

29 _____
30 _____

1 _____
2 _____
3 _____
4 _____
5 F. Other Income Categories Specified in State and
6 Federal Income Tax Regulations.
7 _____
8 _____
9 _____
10 _____
11 _____
12 _____
13 (Signature of Filer) _____ (Date)